



IFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Frederick G. St. Goar
Serial No. : 10/820,581
Filed : April 7, 2004
Conf. No. : 8576
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Art Unit : 3732
Examiner : Unknown

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450


TRANSMITTAL LETTER

Dear Sir:

Transmitted herewith are a Supplemental Information Disclosure Statement, Form PTO-1449 (5 pages) and return postcard for filing in connection with the above-captioned patent application.

- ☒ The Commissioner is hereby authorized to charge the fee for the extension of time and any other fee that may be due in connection with this and the attached papers or with this application during its entire pendency to Deposit Account No. 06-1050. A duplicate of this sheet is enclosed.

Respectfully submitted,


Fred C. Hernandez
Reg. No. 41,832

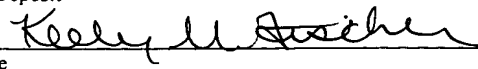
Attorney Docket No. 17315-002002
Address all correspondence to:
Fred C. Hernandez
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5625
Facsimile: (202) 626-7796
Email: fhernandez@fr.com

10458325.doc

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

November 24, 2004
Date of Deposit


Signature

Kelly M. Fischer
Typed or Printed Name of Person Signing Certificate



Applicant : Frederick G. St. Goar
Serial No. : 10/820,581
Filed : April 7, 2004
Conf. No. : 8576
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Art Unit : 3732
Examiner : Unknown

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT IN
ACCORDANCE WITH 37 C.F.R. §§1.97-1.98**

Dear Sir:

Because this Supplemental Information Disclosure Statement is filed before the receipt of a First Office Action on the Merits for the above-captioned application, a fee for filing this statement should not be due. If, however, it is determined that a fee is due, any fees that may be due in connection with filing this paper may be charged to Deposit Account No. 06-1050.

In accordance with the duty of disclosure imposed by 37 C.F.R. §1.56 to inform the Patent Office of all references known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Supplemental Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§1.97-1.98. Form PTO-1449 (5 pages) is provided herewith in connection with the above-captioned application. The cited documents listed on the Form PTO-1449 are not provided herewith as they have been previously provided in connection with U.S. Serial Nos. 10/635,776 and 09/544,930, now U.S. Patent No. 6,629,534, which are relied upon for an earlier filing date in accordance with 35 U.S.C. §120.

The documents listed on the Form PTO-1449, with the exception of items DO and DY, are in the English language. Hence, in accordance with the requirements of 37 C.F.R.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

November 24, 2004
Date of Deposit

Kelly M. Fischer
Signature

Kelly M. Fischer
Typed or Printed Name of Person Signing Certificate

Applicant : Frederick G. St. Goar
Serial No. : 10/820,581
Filed : April 7, 2004
Page : 2 of 2



Attorney's Docket No.: 17315-002002

§1.98, as amended effective March 16, 1992, no further explanation of the listed item is necessary.

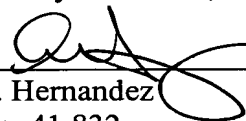
Further to the list provided in the communication mailed on October 19, 2004, Applicant also makes known to the Examiner the following pending U.S. and International Applications that have one or more common inventors and/or are commonly owned:

<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Publication No.</u>	<u>Docket No.</u>
10/803,444	03/17/04	2004/0225300	20489-000410US
10/927,263	08/25/04	Awaiting	
10/927,589	08/25/04	Awaiting	

Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the references is effective as prior art against the subject application. In accordance with 37 C.F.R. 1.97(h), the filing of this Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(b) exists.

Applicant respectfully requests that the Examiner review the foregoing references and make them of record in the file history of the above-captioned application.

Respectfully submitted,


Fred C. Hernandez
Reg. No. 41,832

Attorney Docket No. 17315-002002
Address all correspondence to:
Fred C. Hernandez
Fish & Richardson P.C.
12390 El Camino Real
San Diego, California 92130
Telephone: (858) 678-5625
Facsimile: (202) 626-7796
Email: fhernandez@fr.com

10458324.doc

NOV 29 2004

Sheet 1 of 5

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002002	Application No. 10/820,581
	Applicant Frederick G. St. Goar		
	Filing Date April 7, 2004	Group Art Unit 3732	

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	2002/0013571	01/31/02	Goldfarb et al.	606	1	06/27/01
	AB	2002/0035361	03/21/02	Houser et al.	606	15	07/03/01
	AC	2002/0087148	07/04/02	Brock et al.	606	1	11/16/01
	AD	2002/0087169	07/04/02	Brock et al.	606	139	11/16/01
	AE	2002/0183766	12/05/02	Seguin	606	139	07/24/02
	AF	2003/0167071	09/04/03	Martin et al.	606	232	03/01/02
	AG	2004/0003819	01/08/04	St. Goar et al.	128	898	07/03/03
	AH	2004/0030382	02/12/04	St. Goar et al.	623	2.36	08/05/03
	AI	2004/0039442	02/26/04	St. Goar et al.	623	2.36	08/07/03
	AJ	2004/0044350	03/04/04	Martin et al.	606	139	05/19/03
	AK	2004/0049207	03/11/04	Goldfarb et al.	606	139	05/19/03
	AL	2004/0087975	03/06/04	Lucatero et al.	606	139	05/19/03
	AM	2004/0088047	05/06/04	Spence et al.	623	2.36	10/28/03
	AN	2004/0092962	05/13/04	Thornton et al.	606	139	05/19/03
	AO	2004/0106989	06/03/04	Wilson et al.	623	2.11	07/03/03
	AP	2004/0122448	06/24/04	Levine	606	139	08/13/03
	AQ	2004/0127981	07/01/04	Rahdert et al.	623	2.36	10/01/03
	AR	2004/0127982	07/01/04	Machold et al.	623	2.36	10/01/03
	AS	2004/0127983	07/01/04	Mortier et al.	623	2.36	10/07/03
	AT	2004/0133062	07/08/04	Pai et al.	600	16	10/08/03
	AU	2004/0133063	07/08/04	McCarthy et al.	600	16	12/12/03
	AV	2004/0133220	07/08/04	Lashinski et al.	606	151	08/05/03
	AW	2004/0133240	07/08/04	Adams et al.	607	2	01/07/03
	AX	2004/0133273	07/08/04	Cox	623	2.11	12/17/03
	AY	2004/0138745	07/15/04	Macoviak et al.	623	2.36	10/28/03
	AZ	2004/0225300	11/11/04	Goldfarb, et al.	606	139	03/17/04
	BA	2,108,206	02/15/38	Meeker	606	148	03/09/37
	BB	3,378,010	04/16/69	Codling et al.	606	157	07/28/65
	BC	4,297,749	11/03/81	Davis et al.	623	2.19	02/27/80
	BD	4,809,695	03/07/89	Gwathmey et al.	227	175.1	02/25/87

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002002	Application No. 10/820,581
	Applicant Frederick G. St. Goar		
	Filing Date April 7, 2004	Group Art Unit 3732	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	BE	5,042,707	08/27/91	Taheri	606	213	10/16/90
	BF	5,049,153	09/17/91	Nakao et al.	606	151	06/26/90
	BG	5,069,679	12/03/91	Taheri	606	159	11/13/89
	BH	5,171,252	12/15/92	Friedland	606	151	02/05/91
	BI	5,209,756	05/11/93	Seedhom et al.	606	151	07/10/91
	BJ	5,226,429	07/13/93	Kuzmak	128	898	06/20/91
	BK	5,254,130	10/19/93	Poncet et al.	606	206	04/13/92
	BL	5,383,886	01/24/95	Kensey et al.	606	185	10/13/92
	BM	5,403,326	04/04/95	Harrison et al.	606	139	02/01/93
	BN	5,417,700	05/23/95	Egan	606	144	03/25/93
	BO	5,423,858	06/13/95	Bolanos et al.	606	220	09/30/93
	BP	5,423,882	06/13/95	Jackman et al.	607	122	07/09/94
	BQ	5,450,860	09/19/95	O'Connor	128	898	08/31/93
	BR	5,478,309	12/26/95	Sweezer et al.	604	6.14	05/27/94
	BS	5,478,353	12/26/95	Yoon	606	213	07/18/94
	BT	5,520,701	05/28/96	Lerch	606	142	06/15/94
	BU	5,522,873	06/04/96	Jackman et al.	607	122	07/06/94
	BV	5,536,251	07/16/96	Evard et al.	604	93.01	04/03/95
	BW	5,542,949	08/06/96	Yoon	606	143	09/16/93
	BX	5,571,137	11/05/96	Marlow et al.	606	207	08/17/94
	BY	5,571,215	11/05/96	Sterman et al.	600	101	12/06/93
	BZ	5,618,306	04/08/97	Roth et al.	606	205	11/17/95
	BZ	5,634,932	06/03/97	Schmidt	606	157	10/10/95
	CA	5,640,955	06/24/97	Ockuly et al.	600	374	02/14/5
	CB	5,713,910	02/03/98	Gordon et al.	606	144	11/07/95
	CC	5,716,367	02/10/98	Koike et al.	606	144	10/18/96
	CD	5,718,725	02/17/98	Sterman et al.	623	2.11	06/05/95
	CE	5,797,927	08/25/98	Yoon	606	144	09/22/95
	CF	5,810,847	09/22/98	Laufer et al.	606	142	03/06/97
	CG	5,824,065	10/20/98	Gross	623	2.41	07/07/97

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002002	Application No. 10/820,581
	Applicant Frederick G. St. Goar		
	Filing Date April 7, 2004	Group Art Unit 3732	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	CH	5,827,237	10/27/98	Macoviak et al.	604	246	06/17/96
	CI	5,833,671	11/10/98	Macoviak et al.	604	247	06/17/96
	CJ	5,836,955	11/17/98	Bueina et al.	606	148	07/14/97
	CK	5,879,307	03/09/99	Chio et al.	600	485	03/1/97
	CL	5,885,271	03/23/99	Hamilton et al.	606	1	03/14/97
	CM	5,928,224	07/27/99	Laufer	606	27	01/24/97
	CN	5,947,363	09/07/99	Bolduc et al.	227	176.1	03/20/98
	CO	5,954,732	09/21/99	Hart et al.	606	144	09/10/97
	CP	5,980,455	11/09/99	Daniel et al.	600	235	07/15/97
	CQ	5,989,284	11/23/99	Laufer	607	96	02/18/97
	CR	6,019,722	02/01/00	Spence et al.	600	210	09/17/97
	CS	6,117,144	09/12/00	Nobles et al.	606	144	01/14/99
	CT	6,165,183	12/26/00	Kuehn et al.	606	139	07/15/98
	CU	6,210,432	04/03/01	Solem et al.	623	1.15	06/30/99
	CV	6,269,819	08/07/01	Oz et al.	128	898	02/25/99
	CW	6,306,133	10/23/01	Tu et al.	606	41	10/02/99
	CX	6,312,447	11/06/01	Grimes	606	219	10/13/99
	CY	6,355,030	03/12/02/	Aldrich et al.	606	28	09/25/98
	CZ	6,461,366	10/08/02	Seguin	606	144	03/10/00
	DA	6,619,291	09/16/03	Hlavka et al.	128	898	04/24/01
	DB	6,629,534	10/07/03	St. Goar et al.	128	898	04/07/00
	DC	6,701,929	03/09/04	Hussein	128	898	03/27/01
	DD	6,702,826	03/09/04	Liddicoat et al.	606	151	06/22/01
	DE	6,723,038	04/20/04	Schroeder et al.	600	16	10/06/00
	DF	6,746,471	06/08/04	Mortier et al.	606	207	05/25/01
	DG	6,752,813	06/22/04	Goldfarb et al.	606	139	06/27/01
	DH	6,770,083	08/03/04	Seguin	606	139	07/24/02

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002002	Application No. 10/820,581
	Applicant Frederick G. St. Goar		
	Filing Date April 7, 2004	Group Art Unit 3732	

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	DI	0 179 562	07/12/89	EP				
	DJ	0 558 031	09/01/93	EP				
	DK	0 684 012	11/29/95	EP				
	DL	00/60995	10/19/00	PCT				
	DM	01/26557	04/19/01	PCT				
	DN	01/28432	04/26/01	PCT				
	DO	11089937	04/06/99	JP				
	DP	1598111	09/16/81	UK				
	DQ	2003/020179	03/13/03	PCT				
	DR	2004/012583	02/12/04	PCT				
	DS	2004/019811	03/11/04	PCT				
	DT	2004/030570	04/15/04	PCT				
	DU	2004/045378	06/03/04	PCT				
	DV	2004/045463	06/03/04	PCT				
	DW	2004/047679	06/10/04	PCT				
	DX	2151142	07/17/85	UK				
	DY	3504292	07/24/86	DE				
	DZ	81/00668	03/19/81	PCT				
	DZ	92/12690	08/06/92	PCT				
	EA	94/18881	09/01/94	PCT				
	EB	94/18893	09/01/94	PCT				
	EC	97/39688	10/30/97	PCT				
	ED	98/07375	02/26/98	PCT				
	EE	98/30153	07/16/98	PCT				
	EF	99/07354	02/18/99	PCT				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	EG	Abe et al., "As originally published in 1989: De Vega's annuloplasty for acquired tricuspid disease: early and late results in 110 patients. Updated in 1996," Ann. Thorac. Surg. 62(6): 1876-1877 (1996)
	EH	Ali Khan et al., "Blade atrial septostomy: Experience with the first 50 proceduresCathet Cardiovasc Diagn. 23(4):257-62 (1991)

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 17315-002002	Application No. 10/820,581
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Frederick G. St. Goar	
		Filing Date April 7, 2004	Group Art Unit 3732
(37 CFR §1.98(b))			

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	EI	Bailey, C.P. et al., "Mitral Regurgitation," Chapter 20 in <i>Surgery of the Heart</i> , Philadelphia: Lea & Febiger, pp. 686-737 (1955)
	EJ	Reul, Ross M. and Cohn, Lawrence II, "Mitral Valve Reconstruction for Mitral Insufficiency," <i>Prog Cardiovasc Dis.</i> 39(6):567-99 (1997)
	EK	Umana et al., " 'Bow-tie' mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation," <i>Surgical Forum</i> , 48: 279-280 (1997)

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	